

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of:

Masahiko IMAI et al

Application No.: New Application

Filed: September 3, 2003

Group Art Unit:

Examiner:

Atty. Dkt. No.: 025720-00011

For: SURFACE ACOUSTIC WAVE DEVICE, FILTER DEVICE  
AND METHOD OF PRODUCING THE SURFACE ACOUSTIC  
WAVE DEVICE

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

September 3, 2003

Sir:

Pursuant to 37 CFR §1.56, the attention of the Patent and Trademark Office is hereby directed to the information item(s) listed on the attached PTO-1449. Unless otherwise indicated herein, one copy of each item(s) is attached. It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the item(s) be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

- ☒ 1. This Information Disclosure Statement is being filed (a) within three months of the U.S. filing date or the date of filing a CPA, OR (b) before the mailing date of a first Office Action on the merits in the present application, or (c) accompanies a Request for Continued Examination. No certification or fee is required.
- ☐ 2. This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection or Notice of Allowance.
- ☐ a. I hereby certify that each item of information contained in this Information Disclosure Statement was cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 CFR §1.97(e)(1).
- ☐ b. I hereby certify that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 CFR §1.97(e)(2).

- ☐ c. A check in the amount of \$180.00 in payment of the fee under 37 CFR §1.17(p). Please charge any fee deficiency or credit any overpayment to Deposit Account No. 01-2300 as needed to ensure consideration of the disclosed information.
- ☐ 3. This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of a Final Rejection or Notice of Allowance, but before payment of the Issue Fee. Applicant(s) hereby petition(s) that the Information Disclosure Statement be considered. Attached is our check in the amount of \$130.00 in payment of the petition fee under 37 CFR §1.17(i)(1). Please charge any fee deficiency or credit any overpayment to Deposit Account No. 01-2300 as needed to ensure consideration of the disclosed information.
- ☐ a. I hereby certify that each item of information contained in this Information Disclosure Statement was cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 CFR §1.97(e)(1).
- ☐ b. I hereby certify that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 CFR §1.97(e)(2).
- ☒ 4. The relevance of the references is discussed in the present specification.

Respectfully submitted,

ARENT FOX KINTNER PLOTKIN & KAHN, PLLC



Charles M. Marmelstein  
Registration No. 25,895

1050 Connecticut Avenue, N.W., Suite 400  
Washington, D.C. 20036-5339  
Tel: (202) 857-6000  
Fax: (202) 638-4810

CMM:mmg

Enclosures: PTO-1449 Form; References (7)

FORM PTO-1449  U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE  <b>LIST OF REFERENCES CITED BY APPLICANT</b>  <i>(Use several sheets if necessary)</i>	ATTY. DOCKET NO. <b>025720-00011</b>	SERIAL NO. <b>New Appln.</b>
	APPLICANT <b>Masahiko IMAI et al</b>	
	FILING DATE <b>September 3, 2003</b>	GROUP

**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NO.	DATE	NAME	CLASS	SUB- CLASS	FILING DATE
	AA						
	AB						
	AC						
	AD						
	AE						
	AF						

**FOREIGN PATENT DOCUMENTS**

		DOCUMENT NO.	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION YES NO PART.		
	AG	2001-53579	2/23/01	Japan					XX
	AH	2516817	7/25/96	Japan				XX	
	AI	3-101280	4/26/91	Japan					XX
	AJ	11-55070	2/26/99	Japan				XX	
	AK								
	AL								

**OTHER REFERENCES** *(Including Author, Title, Date, Pertinent Pages, Etc.)*

AM	"Theoretical Analysis of SAW Propagation Characteristics Under the Strained Medium and Applications for High Temperature Stable High Coupling SAW Substrates", YAMANOUCI et al, 1999 <i>IEEE Ultrasonics Symposium</i> , pgs. 239 - 242.
AN	"Temperature Stable SAW Devices Using Directly Bonded LiTaO <sub>3</sub> /Glass Substrates", SATO et al, 1998 <i>IEEE Ultrasonics Symposium</i> , pgs. 335 - 338.
AO	"SAW Properties of SiO <sub>2</sub> /128° Y-X LiNbO <sub>3</sub> Structure Fabricated by Magnetron Sputtering Technique", YAMANOUCI et al, <i>IEEE Transactions on Sonics and Ultrasonics</i> , Vol. SU-31, No. 1, January 1984, pgs. 51 - 57.

EXAMINER	DATE CONSIDERED
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	